

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Kurt NATTERMANN  
Volker SEIBERT  
Roland BÜRKLE  
Reinhard KASSNER

Title: FLAT LIGHT SOURCE

Serial No.: 09/889,099

Based Upon: PCT/EP00/00147

Express Mail No.: EL815472913US

Date of Deposit: 22 October 2001

**CERTIFICATE OF MAILING BY EXPRESS MAIL****Box PCT**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

I hereby certify that the following requisites of the subject patent application are being deposited with the United States Postal Service as Express Mail Post Office to Addressee No. EL815472913US, on 22 October 2001, and is addressed to Box PCT, Assistant Commissioner for Patents, Washington, D.C. 20231, together with the items listed below.

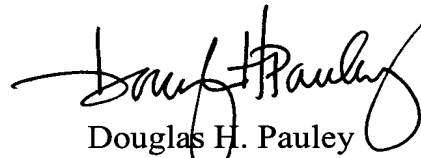
- Transmittal Letter (Form PTO-1390), in duplicate
- Executed German Language Declaration (4 pages), attached to a German language copy of the International Application

Serial No.: 09/889,099

Recordation Form Cover Sheet, together with executed  
Assignment Document

- A check in the amount of \$170.00 to cover the fees set forth in the Transmittal Letter
- Copy of the Notification of Missing Requirements Under 35 U.S.C. 371 in the United States Designated/Elected Office (DO/EO/US)
- Return Receipt Postcard

Respectfully submitted,

  
Douglas H. Pauley  
Regis. No. 33,295

Pauley Petersen Kinne & Fejer  
2800 West Higgins Road; Suite 365  
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**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

VO-542

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5)

09/889,099

INTERNATIONAL APPLICATION NO.

PCT/EP00/00147

INTERNATIONAL FILING DATE

11 January 2000

PRIORITY DATE CLAIMED

11 January 1999

TITLE OF INVENTION

FLAT LIGHT SOURCE

APPLICANT(S) FOR DO/EO/US

Kurt NATTERMANN et al.


Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND OR SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). (executed, attached to a copy of the International Application)
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern other document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment.
- ☐ A SECOND or SUBSEQUENT preliminary amendment. 11/13/2001 UEDUVIJE 00000013 09889099
14. ☐ A substitute specification. 01 FC:154 130.00 DP
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:
  - Copy of Notification of Missing Requirements Under 35 U.S.C. 371
  - Certificate of Mailing by Express Mail (2 pages)
  - Return Receipt Postcard

**EXPRESS MAIL NO.: EL815472913US  
MAILED: 22 October 2001**

U.S. APPLICATION NO. (if known, see 37 CFR 1.5) 09/889,099		INTERNATIONAL APPLICATION NO. PCT/EP00/00147		ATTORNEY'S DOCKET NUMBER VO-542			
<b>17. <input checked="" type="checkbox"/> The following fees are submitted:</b> <b>BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)):</b> Search Report has been prepared by the EPO or JPO ..... \$ 860.00  International preliminary examination fee paid to USPTO (37 CFR 1.482) ..... \$ 690.00  No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) ..... \$ 710.00  Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$ 1,000.00  International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) ..... \$ 100.00				<b>CALCULATIONS</b>		<b>PTO USE ONLY</b>	
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>							
Surcharge of <del>\$130.00</del> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$ 130.00			
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE				
Total claims	- 20 =		X \$18.00				
Independent claims	- 03 =		X \$80.00				
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$270.00				
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$ 130.00			
Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28).							
<b>SUBTOTAL =</b>				\$ 130.00			
Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				+			
<b>TOTAL NATIONAL FEE =</b>				\$ 130.00			
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00</b> per property				+			
<b>TOTAL FEES ENCLOSED =</b>				\$ 170.00			
				Amount to be: refunded		\$	
				charged		\$	
<p>a. <input checked="" type="checkbox"/> A check in the amount of \$ <u>170.00</u> to cover the above fee is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>19-3550</u>. A duplicate copy of this sheet is enclosed.</p> <p><b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</p>							
SEND ALL CORRESPONDENCE TO:  Pauley Petersen Kinne & Fejer 2800 West Higgins Road, Suite 365 Hoffman Estates, Illinois 60195 (847) 490-1400 Fax: (847) 490-1403				<div style="text-align: center;"> _____ SIGNATURE  Douglas H. Pauley _____ NAME  33,295 _____ REGISTRATION NUMBER</div>			
Form PTO-1390 (REV 10-95) page 2 of 2							

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Assistant Commissioner for Patents  
Washington, D.C. 20231

*file*  
P465/10

Please affix the USPTO receipt stamp hereon as evidence of receipt of the following enclosed papers.

- Transmittal Letter (Form PTO-1390), in duplicate
- Executed German Language Declaration (4 pages), attached to a German language copy of the Int. Appl.
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All by Express Mail No. EL815472913US mailed on 22 October 2001.

Applicants: Kurt NATTERMANN et al.  
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JC07 Rec'd PCT/PTO 22 OCT 2001

VO-542

Douglas H. Pauley

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